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ABSTRACT

The National Institute of Education's (NIE) statement of procedures is presented that is used to determine which of the 17 existing regional educational laboratories and research and development (R&D) centers are ready for long-term special institutional agreements. Long-term agreements are defined as 5 years of NIE support. The statement includes explanations of what such agreements entail, the steps NIE will take in making these initial decisions, and the types of support and assistance NIE will provide to laboratories and centers not presently ready for long-term agreements. The purpose of awarding long-term special institutional agreements to labs and centers is to enhance their stability and the institutional character of their missions and functions. Information is provided on purposes of the laboratories and centers and the types of institutional functions and R&D activities supported. In addition to discussing the timing of the long-term agreements, attention is directed to the level of support, governance and priority-setting, mission and scope of work, relationships between NIE and special institutions, administration and organization, staffing and subcontracting, and the relationship of NIE-sponsored work to work supported by other sources. A list of existing laboratories and centers is appended. (SW)

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LONG-TERM SPECIAL INSTITUTIONAL AGREEMENTS

WITH THE SEVENTEEN EXISTING LABORATORIES AND CENTERS

Final Version of NIE's Administrative Policy and Procedures

U.S. DEPARTMENT OF EDUCATION
NATIONAL INSTITUTE OF EDUCATION
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THE NATIONAL INSTITUTE OF EDUCATION

January 15, 1979

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
NATIONAL INSTITUTE OF EDUCATION
WASHINGTON, D.C. 20208

(14)

January 15, 1979

OFFICE OF THE DIRECTOR

Dear Colleague:

Attached is the National Institute of Education's administrative policy on "Long-Term Special Institutional Agreements with the Seventeen Existing Laboratories and Centers." This policy results from over two years of analysis by NIE staff in consultation with the Institute's policy-making National Council on Educational Research (NCER), the Panel for Review of Laboratory and Center Operations, the labs and centers, the Council for Educational Development and Research (which has spoken in behalf of labs and centers in these discussions), and other relevant persons and groups. In July 1976 NCER adopted a policy resolution on "Educational Research Institutions Engaged in Education Research and Development," which declared it the policy of the NIE to "...support the development, strengthening, and utilization of high quality research and development institutions within the nation" and to "...ensure, insofar as possible, that existing regional laboratories and centers be strong, established parts of the research, development, and dissemination system of the nation." In the Education Amendments of 1976 (enacted in September of that year) the United States Congress required NIE's Director to solicit from the labs and centers long-range plans and to determine that the labs' and centers' proposed activities are "consistent with the education research and development program and dissemination activities which are being conducted by the Institute" before awarding contracts or grants. In March 1977 NIE distributed an "Official Solicitation of Long Range Plans from Labs and Centers," and in September 1977 the labs and centers submitted five-year plans. One of the first activities of the Congressionally-mandated Panel for Review of Laboratory and Center Operations was to review those plans. Those reviews (summarized in the Panel's January 1978 interim report) and the NIE staff's reviews provided the basis for determining the levels of support provided in the labs' and centers' current 18-month grants (totaling more than $43 million), which expire November 30, 1979.

Shortly after the award of the current grants many lab and center Directors requested the earliest possible notification of how NIE intended to determine support beyond the present commitments. In response, NIE distributed an August 18, 1978, draft of "Procedures for Determining Long-Term Relationships with Existing Labs and Centers" for purposes of review and discussion. Numerous reactions came through meetings with the Panel, NCER, and lab and center Directors, as well as through a September 18 paper by the Council for Educational Development and Research and letters from a variety of individuals. Meetings of NIE and lab and center representatives yielded several important agreements which were

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listed in an October 27 analysis of issues raised in response to the August 18 draft and which are reflected in the attached policy.

Meanwhile, the Panel continued its site visits to all of the labs and centers and its discussions of various aspects of the labs' and centers' work, organization, and relationship to NIE. These discussions resulted in the Panel's final report, which was submitted to me on December 15, 1978, and which is being submitted to Congress on January 15, 1979.

Thus, these procedures, by which NIE will consider the establishment of long-term special institutional agreements with the seventeen labs and centers, culminates a long series of intensive interactions which, we believe, have resulted in a constructive convergence of understandings. We have studied the Panel's report with care and believe that the Institute's positions and procedures are consistent with the Panel's recommendations.

Sincerely,

Patricia Albjerg Graham

Patricia Albjerg Graham
Director

Attachment

This is the National Institute of Education's official statement of the procedures by which it will determine which of the seventeen existing Regional Educational Laboratories and Research and Development Centers are ready for long-term special institutional agreements.* The statement includes explanations of what such agreements entail, the steps NIE will take in making these initial decisions, and the types of support and assistance the Institute will provide to labs and centers not presently ready for long-term agreements. The purpose of awarding long-term special institutional agreements to labs and centers it to enhance their stability and the institutional character of their missions and functions.

I. What Are Long-Term Special Institutional Agreements?

A. Summary: This section is an overview of the key characteristics of long-term special institutional agreements. It includes excerpts from the more detailed specifications in Section B.

NIE's intent in awarding long-term special institutional agreements is to provide the support, stability, and assistance needed by two types of institutions--regional educational laboratories and national research centers--in helping to meet the educational research and development needs of specified regions of the country and in providing research leadership in educational problem areas of national importance. Such agreements will ensure support from NIE, ordinarily for five years, for both institutional functions and programmatic research and development activities. NIE staff and the special institutions' staffs will work collaboratively, with NIE taking advantage of the labs' and centers' knowledge in conducting its own planning and with NIE's staff actively trying to ensure the success of the special institutions' work, particularly when strengthening of particular institutions' capabilities is required.

The special institutions--through strong, representative, and active governance and advisory structures, systematic assessments of their regions' and fields' needs, and appropriate consultation activities--will bear primary responsibility for determining programmatic priorities consistent with their agreed-upon missions. NIE will be responsible for working with the institutions' governing bodies and staffs (a) to help make their governing and advisory bodies strong, representative of the institutions' constituents, and active, and (b) to develop plans for meeting their priorities. Each special institution's annual monetary planning target will remain at least at the beginning level during each year of an agreement and, as long as NIE receives a sufficient Congressional appropriation, the institution's actual annual level of support will be at least 80% of that figure and perhaps more than that figure, depending upon the results of reviews and the availability of funds.

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* This statement does not apply to institutions other than the seventeen labs and centers listed in Appendix 1, nor does it include procedures for establishing new special institutions. NIE will continue discussi such issues with the Panel, NCER, and other interested parties, and will prepare a broader policy on long-term special institutional agreements in general at an appropriate point.

Prior to the initiation of each agreement each institution will submit proposals for the work to be conducted during the first one to three years of the agreement. NIE staff, with appropriate assistance from external reviewers, will review the proposals, and NIE and the institution will negotiate the scope of work and budget for the period covered by the proposals (one to three years). If an institution chooses to submit proposals covering less than three years, this process will be repeated at an appropriate point within the term of the agreement. Near the end of the third year of each agreement NIE will conduct a rigorous on-site review involving appropriate external peers and constituents to assess the institution's strength and effectiveness. This review will provide the primary basis for determining if and how this agreement will be continued. Prior to the third-year review, each institution will submit proposals for work to be conducted in the one to three years following the third year of the agreement. If the results of the review are positive, these proposals will provide the basis for negotiation of the scope of work and budget for the first one to three years of the renewed agreement. If the results of the review are negative, NIE and the institution will negotiate a schedule of activities needed to remedy problems requiring resolution before a renewed agreement is warranted. These activities will be conducted during an appropriate portion of the current agreement's remaining two years.

Procurement arrangements for special institutions will be flexible, with variations fitted to individual institutions' circumstances and needs. Hence, the following specifications are stated generally to allow for individual tailoring within broad common boundaries.

B. More Detailed Specifications

Two Types of Special Institutions: Long-term special institutional agreements will support two types of institutions—regional educational laboratories and national research centers. Each special institution must function as either a laboratory or a center. The primary distinction between laboratories and centers is one of purpose. The central purpose of each laboratory is to determine and help meet the educational research and development needs in a specified region of the country, while the central purpose of each center is to provide national research leadership in a specified educational problem area of national importance. More specifically, laboratories are intended to:

- identify concerns and priorities through regionally representative governing and advisory structures and activities that help the regional clientele define their needs;
- conduct applied research and development in pursuit of those priorities;
- provide technical assistance to the region;

- facilitate communication among educational agencies and individuals in the region;
- promote the use in the region of research and development results from all sources; and
- nationally disseminate the results of their own activities;

while centers are intended to:

- conduct basic research in an area of national concern on a large-scale, programmatic basis;
- exercise national leadership in that area;
- define specific problems and research strategies through advisory boards representing scholars and practitioners in the field;
- engage in development when appropriate; and
- nationally disseminate their research findings and products.

The activities conducted by each special institution should be determined through analyses of the region's or field's highest priority needs and of the types of tasks presently most appropriate in meeting those needs. Within the boundaries of relevant NIE policies, no institution will be a priori prohibited from engaging in any type of educational research and development activity, although the differences in primary purposes likely will lead centers to concentrate more on basic research activities and laboratories to concentrate on more applied research, development, and dissemination activities.

NIE will encourage all special institutions to collaborate with one another and with other research and development performers in the planning and conduct of their work to maximize the productive sharing of ideas, findings and products, to minimize duplication of effort, and to ensure the widest possible dissemination of useful research and development results.

Types of Functions Supported: Long-term special institutional agreements will ensure support from NIE for two types of functions--institutional functions and programmatic research and development activities. Topics of programmatic activities will be determined through the priority-setting activities each institution will conduct with its governance and advisory structures and through appropriate needs analyses and consultation activities. The number and duration of programmatic activities may vary across institutions and, over time, within institutions. Institutional functions also may vary by institution, but the types of such

functions conducted by individual institutions are likely to be more enduring than programmatic activities. Generally, institutional functions are activities that labs or centers must carry out to operate effectively as cohesive institutions (rather than collections of unrelated projects) in meeting their regions' research and development needs or in providing national research leadership in important problem areas. In preparing its proposals in response to its monetary planning target, each institution will determine how much of its funds it needs to devote to institutional functions and how much will be required for programmatic activities each year.

Types and combinations of institutional functions will depend upon the needs of individual labs' and centers' regions and fields. To clarify the general concept of institutional functions, we include here illustrative lists of such functions, drawn from the Panel's final report. Illustrative institutional functions for national research centers include:

- periodic reviews of the state of knowledge in the centers' fields, involving knowledge synthesis and the identification and clarification of problems;
- the exercise of leadership in their fields, holding conferences and stimulating and sponsoring work elsewhere when appropriate;
- maintenance of strong and broadly representative advisory mechanisms;
- collaborative planning with other R&D performers and NIE staff;
- assistance to NIE through pursuit of mutually defined short-term activities;
- institutional development through visiting scholar programs and staff development activity;
- sponsorship of training and fellowship programs (such as the Women and Minorities in R&D projects); and
- institutional self-evaluation.

Illustrative institutional functions for regional educational laboratories include:

- identification and clarification of problems and needs in the laboratories' regions;
- provision of small-scale, limited-term R&D-based services to practitioners in the laboratories' regions, stimulating or sponsoring R&D by other performers when appropriate;

- maintenance of strong and broadly representative constituent governance and advisory structures;
- exploration of ways to solve the regions' educational problems;
- dissemination (defined broadly to include activities which enhance the impact of the laboratories' and others' R&D and which promote improvement in educational practice through better use of R&D results);
- collaborative planning with other R&D performers and NIE staff;
- assistance to NIE through pursuit of mutually defined short-term activities;
- institutional development through visiting scholar programs and staff development activity;
- sponsorship of training programs (such as the Women and Minorities in R&D projects); and
- institutional self-evaluation.

Term: Long-term special institutional agreements ordinarily will ensure five years of support from NIE. Near the end of the third year of each five-year agreement NIE will conduct a rigorous on-site review involving appropriate external peers and constituents to assess the institution's strength and effectiveness, including the quality of its programmatic work, institutional functions, governance, management, staff, and plans, and, in the case of centers, to reassess the priority of the educational problem areas to which the centers are addressing their attention. This review will provide the primary basis for determining if and how the agreement will be continued. If the results of the review are positive (i.e., if the institution is performing high-quality work that is responsive to the needs of its region or problem area and if the institution's proposed activities for the subsequent three years are promising), NIE will immediately renew the agreement for an additional five years. If the results of the review are negative, an appropriate portion of the final two years of the agreement will be devoted to planning and strengthening, according to an agreed-upon schedule of activities designed to remedy specifically designated problems, with NIE playing a collaborative and facilitative role. If after such planning and strengthening a second review (conducted at an appropriate agreed-upon point in the final two years) is negative, NIE will not renew the long-term special institutional agreement. In such a case NIE will award the institution a contract to phase out programmatic support and the institution will be free to compete for NIE funds on the same terms as any other performer. If at the time of the third-year review NIE determines that a center's problem area is no longer a top priority, the special institutional agreement will not be renewed, although support for individual projects might be continued.

Level of Support: One of the primary purposes of long-term special institutional agreements is to provide stability to labs and centers, enabling them to anticipate general future funding levels and to plan and sustain needed long-term work. Accordingly, these agreements will ensure support from NIE, ordinarily for five years. Each special institution operating under a long-term agreement will receive an annual monetary planning target (to be announced for the initial agreements on February 16, 1979), which will remain at least at the beginning level during each year of the agreement. As long as NIE receives a sufficient Congressional appropriation, the institution's actual annual level of support will be at least 80% of its planning target and perhaps more than that target, depending upon the results of reviews and the availability of funds. NIE may approve supplements to an institution's scope of work and budget at any point during an agreement, but the Institute does not guarantee in advance that any such supplements will be granted. If in the course of an agreement important additional needs or opportunities arise in a lab's region or a center's problem area, and if such needs cannot be met through resources available under the agreement, the institution should submit a proposal to NIE. NIE will review such proposals according to the standard procedures for all non-competitive awards, taking into consideration the special institution's mission and relationship with the Institute.

Governance and Priority-Setting: Laboratories' programmatic priorities will be determined through strong, representative, active governance structures and through systematic assessments of their regions' needs. Laboratories' governing boards must include broad representation of the region's educational interests, having strong ties with State, intermediate, and local agencies, and including parent, teacher, female, and minority representation. NIE will work closely with the laboratories' boards and staffs (a) to help make their governing boards adequately representative, strong, and active and effective as mechanisms for accountability, and (b) to develop plans for achieving the laboratories' goals.

NIE will determine the national educational problem areas in which it will support centers. The Director has affirmed that the problem areas addressed by the existing centers currently are of high priority. In the third year of each agreement NIE will reassess the priority of each center's problem area. Centers will establish strategies and programs in pursuit of their missions through consultation with scholarly and practitioner interests in their respective fields and in collaboration with NIE staff. While centers' formal governing responsibility rests with their host universities (with which NIE intends to interact and from which NIE expects evidence of support for the centers), each center must have a strong, active advisory board which includes leading scholars and consumers of scholarship in the center's field. NIE will work closely with the centers to (a) help make their advisory boards adequately

representative, strong, and active and effective as mechanisms for accountability, and (b) to develop plans for achieving the centers' goals.

Mission and Scope of Work: The primary purpose of each laboratory is to determine and help meet the educational research and development needs in a specified region of the country. The primary purpose of each center is to provide national research leadership in a specified educational problem area of national importance. Each laboratory and center--through appropriate governance and advisory structures, systematic assessments of needs, and appropriate consultation--will determine more specific missions, priorities, and activities to achieve those general purposes in their regions and fields.

While each lab's and center's mission and priorities must be sufficiently broad and central to education to warrant special institutional status and support, they also must be sufficiently focused to permit the specification of discrete, realizable objectives (which will serve as standards for NIE and its reviewers) and the planning and conduct of activities having promise of achieving the objectives.

Prior to the initiation of each long-term agreement, NIE and each lab and center will agree upon a general framwork for the institution's activities during the term of the agreement and the institution will submit proposals for the institutional functions and programmatic research and development activities to be conducted during the first one to three years of the agreement. All such proposed work will be consistent with the institution's agreed-upon mission, and much of the proposed work ordinarily will constitute continuation of ongoing work. NIE staff, with appropriate assistance from external reviewers, will review the proposals, and NIE and the institution will negotiate the scope of work and budget for the period covered by the proposals (one to three years). If an institution chooses to submit proposals covering less than three years, this process (proposal submission, review, negotiation) will be repeated at an appropriate point prior to completion of the negotiated work. While each year's plans must remain consistent with the institution's general mission and goals, original elements of the long-term framework may be adjusted in response to findings, developments in the region or field, or other occurrences suggesting a need for modification.

Relationships between NIE and Special Institutions: NIE staff and special institutions' staffs will work collaboratively, with NIE taking advantage of the labs' and centers' knowledge in conducting its own planning and with NIE's staff actively trying to ensure the success of the special institutions' work, particularly when strengthening of particular institutions' capabilities is required. NIE will deal with each institution as an institution, not as simply a collection of separate projects. NIE will assign an Institutional Monitor and a

Contracts and Grants Specialist to each special institution and Project Officers to its projects. Institutional Monitors will be responsible for maintaining strong two-way lines of communication between NIE and the special institutions, for ensuring that each institution's concerns and problems are given fair consideration within the Institute, for ensuring adequate communication among the institution's Project Officers, and for maximizing the consistency of Project Officers' activities and standards.

Management, Administration, and Organization: Each special institution will be responsible for managing, administering, and organizing its work under a long-term agreement in an appropriate, effective manner. NIE will communicate as often as necessary with the institution about its responsibilities in these areas, providing suggestions and reacting to plans, but the institution will maintain responsibility for making decisions and maintaining operations. The effectiveness of each institutions's management, administration, and organization will be assessed in the rigorous on-site review to be conducted near the end of the third year of each five-year agreement.

In some cases, particularly where NIE's support constitutes a relatively small portion of an institution's funding, NIE may determine the need for special governance and management arrangements for the NIE-sponsored portion.

Staffing and Subcontracting: Each special institution will be responsible for attracting and retaining the most qualified available persons to achieve its missions and conduct its planned activities. Some portion of each year's scope of work and budget should be devoted to continuous strengthening of each special institution's capabilities, through support for such activities as staff training. Each special institution should devote an appropriate portion of its personnel budget to supplementing the work of its permanent staff by obtaining the services of other appropriate, most highly-qualified persons as visiting scholars, fellows, or consultants, when the institution is not able to hire such persons on a permanent basis. Special institutions should subcontract to obtain services or resources that would be too expensive or difficult to build into the institution indefinitely, giving special attention to minority and women-owned firms as potential subcontractors.

At the beginning of each long-term agreement NIE will review general hiring procedures, mechansisms, and standards for each institution, to be applied by the institution in filling all of its key positions under the agreement. Special institutions will be expected to consult with appropriate NIE staff at appropriate points in making individual hiring decisions for key positions.

Each special institution must demonstrate leadership in and strong commitment to equal education opportunity and equal employment opportunity

in its philosophy, management, and practice. To the fullest extent practicable, the institution will provide training for individuals, emphasizing training opportunites for women and members of minority groups in the use of new educational methods, practices, techniques, and products developed in connection with the institution's activities.

Relationship of NIE-Sponsored Work to Work Supported by Other Sources:

In considering sources of funds beyond those provided by NIE's long-term special institutional agreements, all laboratories and centers should concentrate on sources of support for activities relevant to their central missions. A primary purpose of these institutional agreements is to enable labs and centers to function as cohesive institutions with focused missions and related activities, rather than as collections of unrelated projects. Laboratories in particular are encouraged to seek support for activities related to their missions from State and local agencies within their regions.

While all work conducted by each special institution should relate directly to its central mission, the management, administration, organization, scope of work, and budget of NIE-sponsored work must be clearly distinguishable from other work for purposes of assessment.

Legal Instrument: Each laboratory and center having a long-term special institutional agreement with NIE will receive (a) a cooperative agreement, (b) a contract, (c) a grant, or (d) some combination of these three instruments (e.g., an award including a cooperative agreement for institutional functions and contract(s) or grant(s) for programmatic work), depending upon the needs of the particular institution.

Management Fee: NIE's Contracts and Grants Management Division will discuss with each special institution the need for a management fee (or other mechanism needed to purchase equipment, retain staff between projects, or support other essential institutional functions not otherwise provided for) and will determine in each case whether such a fee (or similar mechanism) is warranted.

II. Factors to be Considered in Awarding Initial Agreements

NIE's initial decisions with regard to long-term special institutional agreements with the seventeen existing labs and centers will be based to the fullest extent possible on syntheses of available reviews and other relevant information. (See Section III below for details of the synthesis procedures.) The central purpose of these syntheses is to determine whether each lab and cneter is now strong engouh as an institution to warrant a multi-year commitment from NIE or whether additional planning or collaborative strengthening will be required before NIE can make a multi-year commitment. General institutional health will be assessed in terms of current standing with respect to the central purposes of labs and centers recommended by the Panel and embodied in Section I above. In its syntheses, NIE will be asking whether each institution is well enough governed, managed, organized, and staffed to serve effectively as a lab or a center over the next five years and whether each institution is contributing to NIE's missions of improving educational equity and practice through research, development, and dissemination. More specifically, Institutional Monitors, Project Officers, and Contracts and Grants Specialists are addressing questions such as the following (each of which represents a facet of general institutional health) in conducting their syntheses:

- If the institution is a lab, is it capable of providing high-quality R&D service that is responsibe to its region's needs?
- If the institution is a center, is it capable of providing leadership needed in its substantive field, as well as conducting some of the best research in the field?
- How well is the institution governed, managed, organized, and administered?
- How effective are the institution's quality-control and self-evaluation procedures?
- Does the institution's governing board or advisory group include adequate representation of the region's or field's important constituents?
- Does the institution's staff and governing board or advisory group include adequate representation of women and minorities?
- Is the staff qualified to achieve the institution's mission and goals?
- Are the institution's projects well related to one another and to the institution's central mission?
- How significant and productive is each project's work?
- How significant and promising are the institution's general plans for the future, as expressed in its five-year plan and other available documents?

III. Procedures for Awarding Initial Agreements

NIE, the Panel, and representatives of the labs and centers have agreed that:

- All labs and centers applied for long-term awards when they submitted five-year plans in September 1977. No additional long-term plans will be required at this time, but individual institutions wishing to submit modifications may do so.

- NIE will decide by February 16, 1979 (one month after submission of the Panel's final report to Congress) which of the 17 existing labs and centers are to receive long-term special institutional agreements, which require support for collaborative strengthening before decisions can be made about long-term agreements, and which should continue planning as called for in their current grants.

- On the same date NIE will announce FY 80 planning figures for each lab and center, as well as procedures and a schedule for submitting FY 80 proposals, for conducting staff and peer reviews of the proposals, and for making FY 80 funding decisions. As explained earlier, individual institutions will submit proposals for from one to three years of their agreements, and scopes of work and budgets will be negotiated accordingly.

- NIE will base its February 16 decisions primarily on syntheses of available reviews (particularly the Panel's reviews) and other relevant information, obtaining needed additional information in the least disruptive way possible and organizing on-site reviews only when absolutely essential.

This section describes the procedures by which NIE will fulfill these agreements.

A. Synthesis and Recommendations by Monitors

This first step began December 8 with a memo from NIE's Deputy Director to all Institutional Monitors, Project Officers for lab and center projects, and top-level program managers, In that memo the monitors were instructed to:

1. Review all available documents providing some indication of each lab's and center's readiness for a long-term special institutional agreement, including:

   a. the Panel's and NIE staff's fall, 1977 reviews of the institution's five-year plan;

b. the staff's (and, in most cases, field readers') spring, 1978 reviews of individual projects' proposals for the current 18-month grants;

c. the Panel's report of its site visit to the institution and its October resolution resulting from that visit;

d. reports of all other reviews of the institution, its projects, or products within the past five years, if relevant;

e. all other documents (e.g., staff memos, site visit reports, critiques of progress and products, etc.) that provide some indication of the institution's strength; and

f. all reports, products, and other items submitted by the institution which provide a basis for judging the quality of the work performed.

2. Communicate with appropriate persons at the lab or center as often as necessary during this period (December 8--January 19) to:

a. obtain needed additional information in mutually agreed-upon and minimally disruptive ways (phone conversations, letters, etc.);

b. alert the institution to perceived problems, so that as many problems as possible can be resolved by mid-January, through clarification or actual remediation; and

c. learn more about the institution's present institutional functions and characteristics (more than is available in the five-year plan and other documents).

3. Consult with NIE's Contracts & Grants Management Division, which is assessing available indices of each institution's general financial and business health.

4. Prepare a report on each lab and center, including:

a. a brief description of the institution's overall mission and current NIE-sponsored work;

b. a summary of general findings from the synthesis, indicating the institution's main strengths and weaknesses and addressing the questions listed in Section II of this statement (pertaining to general institutional health);

c. a discussion of problems, weaknesses, or issues (if any) requiring resolution before a long-term special institutional agreement can be awarded; and

d. the monitors' recommendations:

(1) whether NIE should now award (a) a five-year special institutional agreement, (b) a special institutional agreement of shorter duration, or (c) support for additional planning and/or collaborative strengthening;

(2) if the monitor recommends additional planning and/or strengthening, (s)he will also recommend how and when such steps should be accomplished, indicating whether the needed work can be completed by the end of the current grant period (November 30, 1979) or whether additional support for such activities likely will be needed beyond that point.

B. Review and Recommendations by Lab and Center Review Committee

The Deputy Director's December 8 memo also announced the appointment of an ad hoc Lab and Center Review Committee, which will be responsible for formulating recommendations to the Director. This committee includes the Deputy Director, the Deputy Director for Management, the four Associate Directors, and the Head of the Educational Organizations and Institutions Staff (which coordinates the Institute's lab and center work). The purposes of this committee are (1) to maximize consistency in NIE's decision-making across labs and centers at this especially important juncture and (2) to involve top-level managers in these key decisions about work that constitutes a large, important, and integral part of each program's activities. Between January 19 and February 16 the Lab and Center Review Committee will:

1. review each Institutional Monitor's report;

2. meet with each institution's Monitor and Project Officers to discuss in more detail their findings, conclusions, and recommendations; and

3. submit to the Director recommendations regarding the type and level of support to be given each lab and center beginning December 1, 1979.

C. Decisions and Announcements

On February 16 NIE will write to each lab and center indicating:

1. the type of support the institution will receive beginning December 1, 1979: a long-term special institutional agreement or support for continued planning and/or collaborative strengthening (if an institution is to receive the latter, it may also receive support for the conduct and/or planning of programmatic work);

2. the specific problems requiring remediation before a long-term agreement can be justified, if the decision at this point is to support continued planning and/or strengthening;

3. the institution's FY 80 monetary planning figure; and

4. the procedures and schedule to be followed in preparing and reviewing FY 80 proposals and in negotiateing scopes of work and budgets for FY 80 work. (If an institution chooses to submit proposals for two or three fiscal years, the schedule and procedures will be the same.)

D. Post-Decision Activities

1. If NIE announces on February 16 that a lab or center is ready for a long-term special institutional agreement, the institution will:

   a. continue its scheduled work under its 18-month grant (unless the institution proposes, and NIE agrees, that its grant be amended to allow initiation of institutional functions during this period, rather than waiting until December 1); and

   b. prepare and submit proposals for FY 80 (and perhaps FY 81 and FY 82) institutional functions and programmatic work according to the procedures and schedule explained in the February 16 letter.

2. If NIE announces on February 16 that a lab or center is not yet ready for a long-term special institutional agreement, the institution will:

   a. work collaboratively with appropriate NIE staff (including the Institutional Monitor, Project Officers, the Contracts and Grants Specialist, and members of the coordinating Educational Organizations and Institutions staff) to determine (1) a specific list of problems to be remedied through planning and/or collaborative strenthening activities, (2) which funds in the current 18-month grant will be used to support such activities and which will continue to support programmatic work, and (3) a schedule by which the institution will complete its planning and/or strengthening activities and NIE will review its work to determine its readiness for a long-term special institutional agreement; and

   b. prepare and submit proposals for FY 80 (and perhaps FY 81 and FY 82) institutional functions and programmatic work

according to the procedures and schedule explained in the February 16 letter. While an institution not yet receiving a long-term agreement may choose to prepare proposals for up to three fiscal years, NIE will not negotiate scopes of work or budgets beyond FY 80 until the institution has received such an agreement. However, this does not preclude support for individual projects beyond FY 80.

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Education Annex 3.203
Austin, Texas 78712

Southwest Educational Development Laboratory
211 E. 7th Street
Austin, Texas 78701

Southwest Regional Laboratory
4665 Lampson Avenue
Los Alamitos, California 90720

Wisconsin Research and Development Center for Individualized Schooling
University of Wisconsin
1025 West Johnson Street
Madison, Wisconsin 53706

Appendix 1

Existing Laboratories and Centers

Appalachia Educational Laboratory, Inc.
P.O. Box 1348
Charleston, West Virginia 25325

CEMREL, Inc.
2130 59th Street
St. Louis Missouri 63139

Center for Educational Policy and Management
University of Oregon
1472 Kincaid Street
Eugene, Oregon 97401

Center for Educational Research at Stanford
School of Education
Stanford University
Stanford, California 94305

Center for Social Organization of Schools
The Johns Hopkins University
3505 N. Charles Street
Baltimore, Maryland 21218

Center for the Study of Evaluation
Graduate School of Education
University of California, Los Angeles
405 Hilgard Avenue
Los Angeles, California 90024

Far West Laboratory for Educational Research and Development
1855 Folsom Street
San Francisco, California 94103

Learning Research and Development Center
University of Pittsburgh
LRDC Building
3939 O'Hara Street
Pittsburgh, Pennsylvania 15260

Mid-Continent Regional Educational Laboratory
7302 Pennsylvania Avenue
Kansas City, Missouri 64114

National Center for Higher Education Management Systems
P.O. Drawer P
Boulder, Colorado 80302

Appendix 2

References

"Analysis of Reactions to NIE's Draft Procedures for Determining Long-Term Support for Existing Labs and Centers." Mimegraphed. Washington, D.C.: National Institute of Education, October 1978.

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"Resolution of the National Council on Educational Research: Institutions Engaged in Education Research and Development." NCER Resolution No. 091875-18, as amended July 23, 1976. Washington, D.C.: National Institute of Education, 1976.

"Special Institutional Agreements: New Relationships Between NIE and the Laboratories and Centers." Mimeographed. Washington, D.C.; Council for Educational Development and Research, September 18, 1978.